

01/03 – 03/07 Citigroup, Global Engineering, Lab Coordinator/Network Engineer – Warren, NJ

- Participated in build out and daily operations of 6000 sq. ft. 1000+ device Lab/Development Data Center which serviced over 400 Research and Development Engineers
- Participated and implemented Lab/Data Center
- Consolidated/Migrated five major Citigroup Global Engineering labs to the Warren Facility mentioned above
- Participated in team of Data Center Support Technicians
- Evaluated all incoming testing efforts and built the proper environment or engaged the proper engineering discipline to assist in test effort
- Configured, maintained, documented, and supported development network
- Upgraded Cisco IOS on routers and switches.
- Managed network connectivity, implementation, integration and troubleshooting for servers, routers, and storage devices
- Ordered and installed networking gear, servers, and lab supplies
- Performed installations of the latest technology equipment for testing in Lab/Development Data Center in accordance with Citigroup Standards
- Determined the placement and power provisioning of servers, network and storage devices for installation in Lab/Development Data Center
- Worked with vendors and engineers to determine equipment environmental requirements prior to on-site delivery
- Setup and configured console and KVM connections on all gear
- Installed and configured all network connections for servers, SAN, and networking gear
- Aggressively monitored, managed and resolved customer request and trouble tickets
- Maintained connectivity and Data Center elevation databases
- Utilized test equipment to ensure reliability of cabling and connectivity
- Reviewed and scheduled all testing requests
- Monitored power consumption, environmental issues and change control activities
- Provided input for Development Data Center policies and communicated them to our

# **DEPOSITION**

# **EXHIBIT 2**

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05/31/2007 13:18 FAX 12127930940

Citigroup Corp. Law

005/029



## Inter-Office Memo

**TO:** Carmelo Millan  
**FROM:** Amedeo DiScipolo  
**DATE:** 9/6/06  
**RE:** FORMAL WRITTEN WARNING

The purpose of this formal written warning is to address your overall attendance over the past few months which affects your performance and our team's efforts. This issue has been discussed with you on several occasions. In summary, your attendance record is unacceptable and must be corrected immediately to continue employment with the firm. Your tardiness and absences far exceeds what is considered acceptable.

You have arrived late to work on the following dates in the past 4 weeks:

Date	Time
August 1	9:24
August 2	10:13
August 7	9:11
August 8	9:19
August 9	9:25
August 11	10:11
August 14	10:10
August 16	11:36
August 17	9:31
August 18	9:08
August 21	9:28
August 22	9:34
August 24	9:35

You have left work early on the following dates in the past 4 weeks:

Date	Time
August 1	5:21
August 7	4:45
August 8	3:39
August 9	5:44
August 11	5:47
August 14	5:52
August 18	3:48
August 21	5:35
August 22	5:49

It is your responsibility to arrive to work at your scheduled start time - 9:00 a.m. and leave at your scheduled stop time - 6:00 p.m.. For the next 60 days you must e-mail me when you have arrived to work and are ready



05/31/2007 13:19 FAX 12127930940

CitigroupCorp.Law

068/029

Name  
Page 2

to begin the workday and before you leave work at the end of your day. Also, you must use the main turnstile in Building A when you arrive and leave work each day as I will be monitoring the turnstile reports. If you expect to arrive any later than your scheduled start time you must contact me directly.

All employees are required to obtain approval and provide advance notice before taking any time off from work. Going forward, you will be required to request time off at least 2 days in advance. You must obtain approval from me in order to take any time off from work.

If there are any special circumstances that affect your performance, I am available to discuss these. Should these be of a personal nature, you are encouraged to contact the Firm's Employee Assistance Program (E.A.P.), a confidential employee counseling service to discuss the problem or seek assistance. Their telephone number is 1-800-952-1245.

I am available to answer questions. If sustained improvement in your performance does not occur immediately, further disciplinary action will be taken, including termination.

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I have read the formal written warning and received a copy. My signature does not necessarily indicate agreement with the above, only that this formal written warning was discussed and understood.

Name \_\_\_\_\_ Date \_\_\_\_\_

cc: C. Barnes, Human Resources

# **DEPOSITION**

# **EXHIBIT 3**



**Technology**  
**2004 Year-End Performance Review**

Name (Last, First MI)	Job Title	GEID	RITS ID
Millan, Carmelo		0003465301	0003465301
Organizational Name/Project Team		Review Period	
Network Engineering/Control		From: To: 07.01.04 - 12/31.04	
Reviewer Name/Job Title			
Paul Holder / Manager			

**EXHIBIT**

**Ratings Key:**

- (1) **Top Performer** - Exceptional performance; role model for others in the group
- (2) **Strong Performer** - High performance; one of the stronger performers in the group
- (3) **Consistent Performer** - Consistent performance; responds to coaching and direction
- (4) **Inconsistent Performer** - Average to below average performance; performance is below the group average
- (5) **Liner Performer** - Below average performance; must improve significantly to retain position; performance is at the lowest level of the group

**Section 1 – Key Job Responsibilities:**

1. Management of the CTI GE Lab Migration to Warren, NJ
2. Coordination of all Product Development lab activities for CTI GE
3. Staging and preparation of all CTI GE test environments
4. Tracking of all evaluation equipment into the CTI GE Lab
5. Oversight of control processes and procedures for the CTI GE Lab
6.
7.

**Section 2 – Assessment of Job-Related Factors:**

	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performer	Liner Performer
Job proficiency/knowledge	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Due to his efficiency, Carmelo has been able to scale himself to support almost 300 CTI engineers				
Quality of work	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Consistently meets the expectations of his clients on a timely basis				
Productivity/efficiency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo has consistently been able to manage multiple tasks from eight different engineering disciplines				
CTI MP Process adherence	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Performed access entitlement review for CTI GE Lab and software licensing inventory for INE				
Teamwork/interpersonal skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments					
Service	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Has continually been able to maintain a high level of client satisfaction in spite of increased duties				
Initiative	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo on his own initiative is evaluating different vendor products that will improve the efficiency of the CTI GE lab				
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Technology**  
2004 Year-End Performance Review

Supporting comments

Keeps manager informed of important issues and escalates issues when necessary

CTI0000335

Completed: 5/29/2007

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**Technology**  
**2004 Year-End Performance Review**

**Section 3 – Assessment of Managerial Factors (if applicable):**

	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performance	Under Performer
<b>FINANCIALS</b>					
Job Actual vs. Forecast	<input type="checkbox"/>				
Cost Per FTE	<input type="checkbox"/>				
Recruiting (Cost per hire)	<input type="checkbox"/>				
Expense Management Initiative	<input type="checkbox"/>				
<b>PEOPLE</b>					
Turnover	<input type="checkbox"/>				
Internal Mobility	<input type="checkbox"/>				
Staff Development/Training	<input type="checkbox"/>				
Leading Others	<input type="checkbox"/>				
Managing Performance	<input type="checkbox"/>				
Staff Morale	<input type="checkbox"/>				
<b>PROJECT DELIVERY</b>					
Completion on-time and within budget	<input type="checkbox"/>				
Planning and Organizing	<input type="checkbox"/>				
Results Oriented	<input type="checkbox"/>				
<b>CUSTOMER SATISFACTION</b>					
Survey Results	<input type="checkbox"/>				
<b>CONTROLS</b>					
Major Business Issues	<input type="checkbox"/>				
Business Issues	<input type="checkbox"/>				
Project Issues	<input type="checkbox"/>				
<b>WELLNESS/OUTAGES</b>					
Production Support Costs	<input type="checkbox"/>				
Production Problems	<input type="checkbox"/>				
Production Assessment	<input type="checkbox"/>				

CTI0000336



**Technology**  
**2004 Year-End Performance Review**

**Overall Performance Assessment for 01-Jan-2004 to 31-Dec-2004:**

Top Performance	Strong Performance	Consistent Performance	Inconsistent Performance	Under Performance
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Overall Performance Summary for 01-Jul-2004 to 31-Dec-2004:**

"Teamwork / Interpersonal Skills" comment from Section 2. (Text would not display)  
Carmelo has been able to maintain good working relationships with representatives from eight different engineering disciplines whose requirements and priorities often contradict each other.

Carmelo continues to be an integral part of CTI Global Engineering efforts and successes. The scope of Carmelo's job has increased significantly over the last six months. In addition to his overwhelming day-to-day responsibilities, he assumed responsibility for the buildout of the Warren lab facility. As time consuming as this is, Carmelo has continued to provide great service to his many clients in CTI Global Engineering.

**Primary Areas for Improvement/Skill Enhancement:**

As the CTI GE Lab Coordinator, Carmelo needs to take more of an ownership and direction setting role. He needs to ensure that processes and procedures that are developed for the lab clearly delineate roles and responsibilities, SLA's, and clear instruction to stakeholders on how get work requests completed in the lab. With the added focus on compliance, Carmelo needs to ensure that he has processes in place to address control issues like access control and software inventory. This is integral to his future success, as these processes need to be in place to ensure a smooth transition of CTI GE to the Warren facility.

**Appraisee's Comments:**

**Employee Signature(\*):**

Date: \_\_\_\_\_

**Manager Signature:**

Date: \_\_\_\_\_

**Next Level Mgr Signature:**

Date: \_\_\_\_\_

(\* ) Employee Signature acknowledges that a discussion of this document has taken place, but it does not indicate that they necessarily agree with this appraisal of their performance.

# **DEPOSITION**

# **EXHIBIT 5**

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**Technology Infrastructure  
2003 Year-End Performance Review**

Name (Last, First, MI) Milian, Carmelo	Job Title Analyst	GEID # 0003465301
Organizational Name/Project Team: Network Infrastructure & Site Support		Review Period From: 1/1/03 To: 12/31/03
Reviewer Name/Job Title Tom Sarangelo/Assistant Vice President		

#### Ratings Key

- (1) **Top Performer** - Exceptional performance; role model for others in the group
- (2) **Strong Performer**: High performance; one of the stronger performers in the group
- (3) **Consistent Performer**: Consistent performance; responds to coaching and direction.
- (4) **Inconsistent Performer**: Average to below average performance; performance is below the group average
- (5) **Under Performer**: Below average performance; must improve significantly to retain position; performance is at the lowest level of the group

EXHIBIT

#### Section 1 – Key job responsibilities:

- |  |
|--|
| 1. Facilitate all network related issues at 388 Greenwich Street.  |
| 2. Facilitate and maintain all day to day network requests to include MAC's, Comtrack tasks, GPMS trouble tickets and database management. |
| 3. Maintain and address Compliance issues for NISS.  |
| 4. SOE network implementation and support.   |

#### Section 2 – Assessment of job-related factors:

	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performer	Under Performer
Job proficiency/knowledge	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo's understanding of networking continues to be a great asset to the 388 team. He constantly provides others with insight and technical information related to daily troubleshooting.				
Quality of work	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo has improved his quality of work and has used his skillset to assist in the 388 Lab build-out.				
Productivity/efficiency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo has been a strong performer when it comes to productivity. His turnover of projects have improved throughout the year.				
SDLC compliance/testing	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	N/A				
Teamwork/interpersonal skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo has displayed excellent teamworking skills. He has constantly assisted other team members that lack network knowledge with their projects.				
Service	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo's customer/client service skills have improved immensely. He has a good understanding of what is necessary to provide quality turnover of daily technical requests.				
Initiative	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo has taken the initiative to address all COB, TRAM, and PCM related issues for the metro NISS team.				
Communication	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo continues to display good communication skills by updating management on all projects and infrastructure related issues. He has constantly made management aware of any network capacity issues at 388.				

### Section 3 – Assessment of Managerial Factors (if applicable):

	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performer	Under Performer
<b>FINANCIALS</b>					
Job Actual vs. Forecast	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Per FTE	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recruiting (Cost per hire)	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Expense Management Initiative	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PEOPLE</b>					
Turnover	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal Mobility	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff Development/Training	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff Morale	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PROJECT DELIVERY</b>					
Completion on Time	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Completion on Budget	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Impact (Revenue/Cost Returns)	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CUSTOMER SATISFACTION</b>					
Survey Results	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CONTROLS</b>					
Major Business Issues	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Issues	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Issues	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>WELLNESS/OUTAGES</b>					
Production Support Costs	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Production Problems	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Production Assessment	<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### OVERALL PERFORMANCE ASSESSMENT 1/1/03 TO 12/31/03

	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performer	Under Performer
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**OVERALL PERFORMANCE SUMMARY FOR 1/1/03 TO 12/31/03:**

Carmelo has continued to be a major asset to the 388 team. His knowledge of networking and his initiative to address all compliance issues for the group has been a major part of our success. He successfully organized and articulated procedures for our annual COB test, which has been documented and modeled for other TI groups to use. He has also completed major projects such as the Futures Trading and Network Engineering restacks. He has also assisted other team members with projects such as the Solaris 8 Upgrade and the GTS restack. He is currently the lead technician for the 388 Lab build-out that requires daily interaction with multiple engineering groups. Carmelo has also completed a total of seven hundred and sixty Comtrack tasks for 2003. For his efforts, I would like to see Carmelo promoted to an Associate Technical Analyst.

**PRIMARY AREAS FOR IMPROVEMENT/SKILL ENHANCEMENT:**

- Continue to assist management with all COB, TRAM, and PCM related issues
- Better understanding of data center build-outs
- Assume lead role for the 388 Lab build-out

**APPRAISEE'S COMMENTS:**

Employee Signature and Date: \_\_\_\_\_

(Signature acknowledges that a discussion of this document has taken place, but does not indicate that I necessarily agree with this appraisal of my performances.)

Manager Signature and Date: \_\_\_\_\_

Next Level Management and Date: \_\_\_\_\_

**Description of job factors:**

**Job proficiency/Knowledge:** Technical knowledge and ability is commensurate with job title and level of experience. Applies technical skills to the job. Understands technical environment and businesses supported.

**Quality of work:** Work is thorough, accurate, and complete. Develops appropriate test plans and executes them successfully. Adheres to standards, high level of client satisfaction.

**Productivity/efficiency:** Produces required amount of work within planned timeframes.... meets deadlines. Uses corporate resources effectively. Utilizes appropriate tools. Leverages existing assets.

**Teamwork/interpersonal skills:** Successfully works with others to achieve goals. Shares information. Maintains positive working relationships. Lends support and assistance readily.

**Service:** Responsive to client needs and those of others in the firm. Involves other in improving processes. Participates as a partner.

**Initiative:** Takes action beyond requirements. Anticipated and addresses issues directly. Resourceful. Self-starting.

**SDLC:** Understands and adheres to SDLC policy and good practices.

**Communication:** Expresses thoughts logically, clearly, and concisely. Listens well and respond appropriately.

# **DEPOSITION**

# **EXHIBIT 6**

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Carmelo

# Technology Infrastructure

## 2005 Midyear Performance Plan/Summary

**Midyear Performance Review**

Name (Last, First, MI) Millan, Carmelo	Job Title Lab Coordinator / Associate Engineer	GEID # 0003463301
Organizational Name Project Team: CTI Global Network Engineering / Control	Review Period From: 01-01-2005 To: 05-24-2005	
Reviewer Name/Job Title Paul Holder / Manager		

**Ratings Key**

- (1) **Top Performer** - Exceptional performance; role model for others in the group.
- (2) **Strong Performer**: High performance; one of the stronger performers in the group
- (3) **Consistent Performer**: Consistent performance; responds to coaching and direction
- (4) **Inconsistent Performer**: Average to below average performance; performance is below the group average
- (5) **Under Performer**: Below average performance; must improve significantly to retain position; performance is at the lowest level of the group

**Section 1 – Key job responsibilities:**

1. Coordination of all Product Development lab activities for CTI GE
2. Management of the CTI GE Lab Migration to Warren, NJ
3. Staging and Preparation of all CTI GE test environments
4. Oversight of control processes and procedures for the CTI GE Lab
5. Tracking of evaluation equipment and overall inventory for the CTI GE Lab

EXHIBIT

**Section 2 – Assessment of job-related factors:**

	(1) Top Performer	(2) Strong Performer	(3) Consistent Performer	(4) Inconsistent Performer	(5) Under Performer
Job proficiency/knowledge	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality of work	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Productivity/efficiency	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Teamwork/interpersonal skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiative	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**OVERALL PERFORMANCE ASSESSMENT 1/1/05 to 5/31/05:**

	(1) Top Performer	(2) Strong Performer	(3) Consistent Performer	(4) Inconsistent Performer	(5) Under Performer
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**OVERALL PERFORMANCE SUMMARY FOR 1/1/05 to 5/31/05:**

Carmelo continues to provide a consistently high level of service to the CTI Global Engineering teams in their Product Development efforts. The scope of his responsibility has increased to include more Compliance related duties and he is in the process of shifting his focus to align with his new responsibilities. Overall Carmelo continues to be an integral part of CTI Global Engineering.

**PRIMARY AREAS FOR IMPROVEMENT/SKILL ENHANCEMENT:**

CTI0000339

Management of Expectations – Carmelo needs to improve on meeting delivery dates. He often provides commits to a date, and then has to adjust at later time, sometimes multiple times.

Task Prioritization – Improve on “quick wins”. When faced with multiple tasks of similar priority, try to accomplish tasks that do not require much effort first. Utilize SLA’s to assist in task prioritization.

Communication: Reporting of accomplishments – Carmelo needs to consistently provide weekly highlights for inclusion into Monthly rollup reports.

The addition of a second lab coordination resource should allow Carmelo the opportunity to take a step back from the day-to-day activities and focus on his most important deliverables: Warren Lab Migration and process improvements for

// C-11 UC lab migration to Warren.

2) Process improvements- Implementation in the Warren Lab, all that is lacking in the existing facilities

**Year End Goals:**

- 1) Finalize all lab processes and procedures and ensure that they are being followed for BAU
- 2) Ensure that Warren Lab is firewalled from production network
- 3) Finalize work requests procedures and SLA's, and are in use as BAU
- 4) Ensure that infrastructure services have a local presence in the Warren lab in order to minimize access to production (e.g. DNS, WINS, Network Management, etc.)
- 5) Implement an automated inventory tracking system (e.g. Aperture or comparable product), maintain an accurate inventory, and be able to produce an accurate inventory at any time.
- 6) Coordinate monitoring of the Warren lab with baseline mechanisms such as Arbor Networks.

**APPRAISEE'S COMMENTS:**

Employee Signature and Date: \_\_\_\_\_

(Signature acknowledges that a discussion of this document has taken place, but does not indicate that I necessarily agree with this appraisal of my performance.)

Manager Signature and Date: \_\_\_\_\_

Next Level Management and Date: \_\_\_\_\_

# **DEPOSITION**

# **EXHIBIT 7**



## Technology Infrastructure 2005 Year-End Performance Review

Name (Last, First, MI) Millan, Carmelo	Job Title Associate Engineer	GEID # 0003465301
Organizational Name/Project Team: Network Engineering / Product Management		Review Period From: 1/1/05 To: 11/30/05
Reviewer Name/Job Title Paul Holder / Manager		

### Ratings Key

- (1) Performance is at a level consistently and significantly beyond what is required in the position
- (2) Performance is at a level that frequently goes beyond what is required in position
- (3) Performance is at a level that meets what is required in position.
- (4) Performance may sometime meet what is required in position, but often falls short of what is required in incumbent's position
- (5) Performance is at a level that consistently falls short of what is required in position.
- (6) Too soon to rate; in position less than six (6) months.

EXHIBIT

Millan, Carmelo  
Holder, Paul

### Section 1 – Key job responsibilities:

1. Management of the CTI GE Lab Migration to Warren, NJ
2. Coordination of all Product Development lab activities for CTI GE
3. Staging and preparation of all CTI GE test environments
4. Tracking of all evaluation equipment into the CTI GE Lab
5. Oversight of control processes and procedures for the CTI GE Lab

### Section 2 – Assessment of job-related factors:

	<input checked="" type="checkbox"/> Top Performance	<input type="checkbox"/> Strong Performance	<input type="checkbox"/> Consistent Performance	<input type="checkbox"/> Inconsistent Performance	<input type="checkbox"/> Under Performance
Job proficiency/knowledge	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Drawing on his experience, Carmelo was able to perform multiple roles in the Lab Migration Project. He acted as project manager, infrastructure technician, datacenter management, and network integration				
Quality of work	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Consistently meets the expectations of his clients on a timely basis regardless of the technologies involved.				
Productivity/efficiency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Along with being able to consistently manage multiple tasks from eight different engineering disciplines, Carmelo was able to work on the Lab migration project and at the same time train a new resource in the lab coordinator role				
SDLC compliance/testing	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Performed access entitlement review for CTI GE Lab and software licensing inventory for GNE. Carmelo also finalized the overall Procedure Control Manual for the Global Engineering Lab				
Teamwork/interpersonal skills	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Carmelo has been able to maintain good working relationships with representatives from eight different engineering disciplines whose requirements and priorities often contradict each other				
Service	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting comments	Has continually been able to maintain a high level of client satisfaction in spite of increased duties and scope				
Initiative	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Supporting comments	Camelo, without being asked, will stay late and come in on weekends to make sure that the job gets done				
Communication	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>				
Supporting comments	Keeps manager informed of important issues and escalates issues when necessary				

### Section 3 – Assessment of Managerial Factors (if applicable):

	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performer	Under Performer
<b>FINANCIALS</b>					
Job Actual vs. Forecast	<input type="checkbox"/>				
Cost Per FTE	<input type="checkbox"/>				
Recruiting (Cost per hire)	<input type="checkbox"/>				
Expense Management Initiative	<input type="checkbox"/>				
<b>PEOPLE</b>					
Turnover	<input type="checkbox"/>				
Internal Mobility	<input type="checkbox"/>				
Staff Development/Training	<input type="checkbox"/>				
Staff Morale	<input type="checkbox"/>				
<b>PROJECT DELIVERY</b>					
Completion on Time	<input type="checkbox"/>				
Completion on Budget	<input type="checkbox"/>				
Project Impact (Revenue/Cost Returns)	<input type="checkbox"/>				
<b>CUSTOMER SATISFACTION</b>					
Survey Results	<input type="checkbox"/>				
<b>CONTROLS</b>					
Major Business Issues	<input type="checkbox"/>				
Business Issues	<input type="checkbox"/>				
Project Issues	<input type="checkbox"/>				
<b>WELLNESS/OUTAGES</b>					
Production Support Costs	<input type="checkbox"/>				
Production Problems	<input type="checkbox"/>				
Production Assessment	<input type="checkbox"/>				

Overall Performance Assessment 2005	Top Performer	Strong Performer	Consistent Performer	Inconsistent Performer	Under Performer
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## OVERALL PERFORMANCE SUMMARY FOR 2005

Carmelo continues to be an integral part of CTI Global Engineering efforts and successes. The scope of Carmelo's job has increased significantly over the last twelve months. In addition to his overwhelming day-to-day responsibilities, he assumed total responsibility for the build out of the Warren lab facility. Multiple teams usually manage a project of this scope. Because this was not categorized as a "production" migration, some of these groups were not involved. Carmelo had to fill a number of different roles throughout the project. In spite of this, Carmelo has continued to provide great service to his many clients in CTI Global Engineering, as well as train a new member to the Lab Coordination team.

Carmelo has shown a great deal of versatility, commitment and resilience to ensure that the CTI GE Lab migration to Warren, NJ will be a success. He has had to act as the central point of contact to multiple external groups as part of the GE Lab Migration to Warren. He was the central point for everything from phones and desktops to the design and layout out of the new Warren facility.

There were many hurdles and roadblocks during the CTI GE Lab Migration project. Carmelo did everything from tracking missing purchase orders, to correcting mistakes in project paperwork such as the CEP, to ensuring that all GE requirements were accounted for by the PMO. In addition to all the administrative tasks surrounding the project, Carmelo was also responsible for gathering all the technical requirements from all GE disciplines to ensure that these groups would not lose any functionality / productivity when they move to Warren. Carmelo effectively performed the tasks of at least 4 different teams (Network infrastructure, Network Integration, Datacenter Planning, Project Management Office).

As challenging as it is, the CTI GE Lab Migration project is a good growth opportunity for Carmelo. It allows him to utilize many of the skills and technical knowledge that he already has, and at the same time enhance his project management, task prioritization and organizational skills.

Carmelo has grown a great deal professionally over the last year. This growth will help him to better cope with the increased responsibilities and opportunities that await him in Warren. With his continued dedication and commitment, Carmelo will make the new Global Engineering Lab facility in Warren a model to be emulated across Citigroup.

### **2005 Accomplishments:**

- 1) Finalized all lab processes and procedures and enforced them for BAU
- 2) Built the network infrastructure to firewall the Warren GE Lab from Citigroup production network
- 3) Finalized work request procedures and SLA's for the Warren lab
- 4) Coordinated the lab-insource of infrastructure services to have a local presence in the Warren lab in order to minimize required access to production – (There were budget and hardware constraints. All services that were not affected by these constraints were replicated in the lab)

**PRIMARY AREAS FOR IMPROVEMENT/SKILL ENHANCEMENT:**

**Management of Expectations** – Carmelo has improved in this area with the use of project plans. There is still some room for improvement though. Project Management training should help Carmelo to improve more in this area.

**Task Prioritization** – Improve on “quick wins”. When faced with tasks of similar priority, Carmelo should try to accomplish tasks that do not require much effort first and utilize SLA’s to assist in task prioritization. Carmelo has improved in this area as well. Based on the number of tasks and deliverables required for the Lab Migration project and a lack of resources to assist, Carmelo had to get as many “quick wins” as possible. An example was taking the time to identify non-critical equipment that could be migrated early to minimize downtime to critical systems during their migration.

**Communication: Reporting of accomplishments** – Carmelo needs to consistently provide weekly highlights for inclusion into monthly rollup reports. One of Carmelo’s goals for 2006 will be to implement automation of Lab Requests with the Work Tracking System (WTS). This way he can quickly run reports to generate metrics and accomplishments.

**2006 Goals:**

- 1) Complete the migration of 388 Greenwich, 250 West St, Rutherford, NJ, 111 Wall St. labs to Warren
- 2) Migrate EMS/NMS management platforms to the GE Warren Lab facility
- 3) Look for opportunities to continually automate processes
  - a. Integrate Lab Requests into the WTS system to streamline workflow and enable metric reporting
  - b. Ensure that WiseTrac is fully functional and accurate for inventory control
  - c. Investigate a matrix switching solution to facilitate remote reconfiguration of testbeds in the lab

**2006 Skill Enhancement:**

- 1) Continue to work on items noted in mid-year 2005
- 2) Communication: Carmelo is very dedicated and cares tremendously about the work that he does, and the quality of that work. Carmelo can at times let his emotions show too much. Example: The Warren Lab Migration project was not run effectively nor was it smooth-flowing by any means (by no fault of Carmelo). It made Carmelo’s job that much more difficult and was constant source of frustration. At times, on the conference calls with GE stakeholders, Carmelo let his frustration show a little too much. I think that in some instances, it may have raised the anxiety level of some stakeholders prematurely. The course “Increasing Communication Skills” should help Carmelo in this area.
- 3) Carmelo should also complete Project Management and Time Management training.

**APPRAISEE'S COMMENTS:**

Employee Signature and Date: \_\_\_\_\_

(Signature acknowledges that a discussion of this document has taken place, but does not indicate that I necessarily agree with this appraisal of my performances.)

Manager Signature and Date: \_\_\_\_\_

Next Level Management and Date: \_\_\_\_\_

**Description of job factors:**

**Job proficiency/Knowledge:** Technical knowledge and ability is commensurate with job title and level of experience. Applies technical skills to the job. Understands technical environment and businesses supported.

**Quality of work:** Work is thorough, accurate, and complete. Develops appropriate test plans and executes them successfully. Adheres to standards, high level of client satisfaction.

**Productivity/efficiency:** Produces required amount of work within planned timeframes.... meets deadlines. Uses corporate resources effectively. Utilizes appropriate tools. Leverages existing assets.

**Teamwork/interpersonal skills:** Successfully works with others to achieve goals. Shares information. Maintains positive working relationships. Lends support and assistance readily.

**Service:** Responsive to client needs and those of others in the firm. Involves other in improving processes. Participates as a partner.

**Initiative:** Takes action beyond requirements. Anticipated and addresses issues directly. Resourceful. Self-starting.

**SDLC:** Understands and adheres to SDLC policy and good practices.

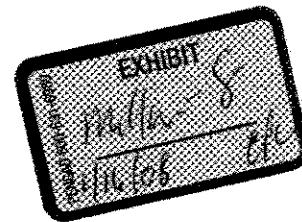
**Communication:** Expresses thoughts logically, clearly, and concisely. Listens well and respond appropriately.

# **DEPOSITION**

# **EXHIBIT 8**

Combined Assessment  
Year End : 2006

Employee: Carmelo Millan  
 Direct Manager: Amedeo R. Discepolo  
 Printed: November 15, 2006



**Part I - Our Shared Responsibilities - How We Do Business**

<b>RESPONSIBILITY TO OUR CLIENTS</b>	<b>Employee Rating</b>	<b>Manager Rating</b>
<b>Builds Client Relationships</b> <ul style="list-style-type: none"> <li>• Puts clients first; anticipates, understands and exceeds client expectations and needs.</li> <li>• Gains the trust and respect of clients.</li> <li>• Solicits, listens and responds to client feedback.</li> </ul>	2 - Highly Effective	3 - Effective
<b>Delivers Client Solutions</b> <ul style="list-style-type: none"> <li>• Continuously delivers superior advice, products and services; leverages internal expertise.</li> <li>• Identifies opportunities to improve products and services.</li> <li>• Recognizes and encourages cross business opportunities to meet client needs; provides references to other businesses where appropriate.</li> </ul>	2 - Highly Effective	3 - Effective
<b>Leverages Functional and Business Knowledge</b> <ul style="list-style-type: none"> <li>• Knows how the business works; understands the company's products, services and policies.</li> <li>• Keeps abreast of industry trends and marketplace strategies.</li> <li>• Keeps current on developments in his/her area of functional expertise.</li> <li>• Applies functional and business knowledge to maximize effectiveness.</li> </ul>	2 - Highly Effective	2 - Highly Effective
<b>Additional Personal Objectives</b>	<b>Published to Directs</b>	<b>Employee Rating</b>
Once the migrations are completed (June 06), I will		2 - Highly Effective
		4 - Partially Effective

CTI0000346

begin researching, procuring, and implementing and Asset Tracking/Trouble Ticketing system for the lab. Target for implementation is November 2006. System needs to meet all lab asset tracking needs, inventory management, loaner management, contract management, system management, e-mail alerts to trigger action, inventory reconciliation capability, handheld scanning, and possible workflow/trouble ticketing capabilities.			
Complete GE lab migrations of Rutherford, 388 Greenwich, 250 West St and 111 Wall by end of 2Q06. Migrate ESS to Warren Lab by end of August.		2 - Highly Effective	3 - Effective
<b>Employee Comments</b>			
<p>Over the course of the Warren migration and lab buildout we have built and expanded on existing client relationships. The Warren lab migrations have seen the lab grow roughly three to four times in size from the original labs in our care. We have worked with many teams to meet their lab requirements and have tried to balance the need for process in the lab with people's need to "get things done". We actively requests feedback from the Engineering community and try our best to utilize their feedback to make everyone's life easier. Proactive efforts to address lab issues are always being made and the lab team is always trying to improve lab efficiency, stability, and delivery.</p>			

CTI0000347

Asset tracking system has been pushed back to 4Q 2006 based on delays with migrations and issues getting permission to purchase a separate Asset Tracking system for the lab.

All migrations were completed on or close to schedule. The ESS migration has never received traction due to a lack of a firm space requirements on their side.

#### Manager Comments

For the most part, Carmelo has a good client focus. However, there have been a few occasions where Carmelo has engaged in email battles and should have had a phone conversation or meeting to resolve the issue. Carmelo should work on improving his ability to resolve issues/conflicts when they arise.

Carmelo has knowledge of various technologies and he applies it in his daily BAU activities to meet his clients expectations consistently. This was a valuable asset during the lab migration project.

Carmelo did not clearly define requirements for the asset mgmt. system nor create a roadmap or recommendation document for this effort. At this point in time, this initiative is now targeted for completion in 1Q07.

GE lab migrations were completed by early August. ESS lab did not migrate to Warren.

Carmelo was the primary person responsible for the lab migrations and as such he had the responsibility to ensure the lab databases were kept up to date. The databases were not kept up to date until his mgmt requested and reviewed.

RESPONSIBILITY TO EACH OTHER	Employee Rating	Manager Rating
<b>Manages Performance</b> <ul style="list-style-type: none"> <li>• Sets clear and measurable goals.</li> <li>• Provides ongoing, candid and constructive feedback.</li> <li>• Recognizes and rewards based on merit.</li> </ul>	N/A - Not Applicable	N/A - Not Applicable
<b>Recruits, Develops and Retains Talent</b> <ul style="list-style-type: none"> <li>• Attracts and hires top tier talent.</li> <li>• Encourages effective development plans are created and executed.</li> <li>• Coaches and mentors others to</li> </ul>	N/A - Not Applicable	N/A - Not Applicable

CTI0000348

improve performance. <ul style="list-style-type: none"> <li>• Moves individuals into challenging, developmental assignments and supports cross business mobility.</li> <li>• Builds a diverse talent pipeline at all levels.</li> <li>• Ensures leadership succession.</li> </ul>			
<b>Builds Partnerships and Values Diversity</b> <ul style="list-style-type: none"> <li>• Establishes an inclusive and positive team oriented work environment and treats all employees with dignity and respect.</li> <li>• Values and leverages diverse perspectives.</li> <li>• Collaborates with others to achieve common goals and breaks down silos.</li> <li>• Shares ideas and best practices across businesses, products and geographies.</li> </ul>	2 - Highly Effective	4 - Partially Effective	
<b>Communicates Effectively</b> <ul style="list-style-type: none"> <li>• Communicates clearly and concisely, both orally and in writing.</li> <li>• Influences the decisions and opinions of others without having direct authority.</li> <li>• Keeps others informed by passing on relevant information in a timely manner.</li> <li>• Remains objective and resolves conflicts when they arise.</li> </ul>	2 - Highly Effective	4 - Partially Effective	
Additional Personal Objectives	Published to Directs	Employee Rating	Manager Rating
The Communications course: "Increasing Communication Skills" will be scheduled and attended by end of year.		3 - Effective	4 - Partially Effective
Available Project Management and Time Management training offered by Citigroup will be scheduled and attended, by end of year, as well.			

CT10000349

Ensure that 2006 Performance goals are entered and approved by April 15th.	1 - Exceptional	3 - Effective
<b>Employee Comments</b>		
<p>Over the course of the year we have worked to increase the co-operative spirit in the lab. Though at times we have hit rough patches in communication, I think it has led to better understanding of each others strengths and weaknesses and developed a complimentary work relationship which is helping us pull together to get the job done. Communication, though not always exemplary, have been at the top of my personal priorities and improve consistently.</p> <p>With the exception of Time Management training, specified training has not been available. Time management course is currently being taken via a web based course.</p>		
<b>Manager Comments</b>		
<p>Carmelo has a good working relationship with the engineers in Global Engineering. However, Carmelo has had problems during the first 7 months of the year establishing a good working relationship with personnel on the team that he's assigned to. Since August, I have seen an improvement in the way Carmelo is working with personnel on the team and addressing issues/conflicts as they arise.</p> <p>Carmelo has not attended any of the professional training classes that were recommended for him.</p> <p>Goals, mid year and year end assessments were entered on time.</p>		

RESPONSIBILITY TO OUR FRANCHISE	Employee Rating	Manager Rating
<b>Drives Results</b> <ul style="list-style-type: none"> <li>• Leads by example, demonstrating ethics, judgment and integrity in decisions and actions.</li> <li>• Strives for "best in class" practices to be industry and market leader; demonstrates a desire to win.</li> <li>• Gets things done; overcomes obstacles and minimizes bureaucracy.</li> <li>• Holds self and others accountable for results.</li> </ul>	2 - Highly Effective	4 - Partially Effective

CT10000350

• Translates vision into clear strategies and specific priorities.		
Uses Sound Judgment <ul style="list-style-type: none"> <li>• Puts long-term interests above short term gains; thinks and acts like an owner.</li> <li>• Escalates issues when necessary and appropriate.</li> <li>• Probes beyond symptoms to determine the underlying causes of problems.</li> <li>• Seeks input and advice from others before making decisions.</li> <li>• Makes decisions in a timely manner, balancing a need for action with a need for analysis.</li> <li>• Develops strategies that contribute to sustainable business growth.</li> </ul>	2 - Highly Effective	3 - Effective
Innovates and Manages Change <ul style="list-style-type: none"> <li>• Inspires creativity and encourages others to continuously improve.</li> <li>• Develops innovative solutions that enhance our products, services and processes.</li> <li>• Challenges the status quo and traditional thinking.</li> <li>• Works effectively in the face of ambiguity and adapts to change.</li> <li>• Communicates the need for change and inspires action.</li> </ul>	3 - Effective	3 - Effective
Manages Risk and Control <ul style="list-style-type: none"> <li>• Takes responsibility for strong control environment; effectively uses Risk Control Self Assessment as a reliable framework for managing control structure.</li> <li>• Proactively manages risk; considers risk and control issues when developing new products and executing transactions.</li> <li>• Ensures transparency and candor in dealing with risk and control issues.</li> <li>• Incorporates risk and control perspectives in strategic plans and budgets.</li> <li>• (For Control Staff Only) Collaborates with business staff to find solutions to control issues;</li> </ul>	3 - Effective	3 - Effective

CTI0000351

willing to accept measured and transparent risk-taking where appropriate.			
Pursues Learning and Self Development <ul style="list-style-type: none"> <li>• Recognizes personal strengths and development needs and is committed to self-improvement.</li> <li>• Learns from and accepts responsibility for mistakes.</li> <li>• Pursues continuous learning by seeking feedback from others.</li> </ul>	2 - Highly Effective	4 - Partially Effective	
Additional Personal Objectives	Published to Directs	Employee Rating	Manager Rating
Provide all audit deliverables in a timely manner. Complete all CAP related tasks within specified timeframes.		3 - Effective	3 - Effective
All of Network Engineering personnel will participate in mandatory Risk Management Education Programs		3 - Effective	3 - Effective
Adhere to the Corrective Action Management Process <ul style="list-style-type: none"> <li>a) Close CAPs on agreed schedule.</li> <li>b) Identify and develop mitigating plans for 'at risk' CAPS - 90 days from target date</li> </ul>		N/A - Not Applicable	N/A - Not Applicable
Deliver Risk Management Target Priorities		N/A - Not Applicable	N/A - Not Applicable

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a) Actively manage and review Network Engineering High Risk VTMS to ensure deliverables are met on time.

b) Manage vendors and identify process improvements by 3Q06 to ensure solutions to medium risk vulnerabilities are developed within acceptable timeframes.

c) Complete all phase I and II Standard Builds.

## **Employee Comments**

I have tried my best to persevere in the face of a challenging situation. I have consistently thought of the organization's well being when making business decisions.

### **Manager Comments**

Since the mid year review, Carmelo was issued a formal written warning for his attendance. Carmelo's poor attendance showed lack of responsibility on his part and ultimately affected the productivity of the group.

The semi-annual lab access review has not been completed to date and as such puts us at audit risk for not following our pcrn.

Carmelo did not keep the lab inventory current during the lab migrations until requested by his management team and as such this could have put us at risk with "Lab Insurance Questionnaire" and capacity planning capability for the lab.

There was no mandatory risk management training in 2006.

### **Overall Shared Responsibility Rating**

### **Employee Rating**

#### **Manager Rating**

## 2 - Highly Effective

#### 4 - Partially Effective

CTI0000353

**Part II - Business-Specific Goals - What Business We Do**

There are no Business Specific goals.

Employee Overall Goal Comments

Manager Overall Goal Comments

Carmelo had no business specific goals assigned to him

Overall Business Specific Goals  
Rating

Employee Rating

2 - Highly Effective

Manager Rating

N/A - Not Applicable

**Part III - Manager Overall Rating and Comments**

At this point in time the overall assessment for Carmelo is "Partially Meets Expectations (4)".

The reasoning for this rating is;

1.  
Attendance/Punctuality  
- Since the mid year assessment, Carmelo has been issued a formal written warning for his poor attendance. Carmelo's poor attendance shows lack of responsibility and it has negatively affected the productivity of the group. Carmelo's attendance record as it relates to his arrival at his scheduled start time has not improved since the written warning was issued on 9/6/06.

CT10000354

2. Quality of Work -  
Had issues with quality  
of work as it relates to  
data base  
accuracy during first 8  
months of year.

3.  
Teamwork/Interpersonal  
Skills - There were  
issues related to  
teamwork, respect and  
successfully working  
with others to achiev  
goals to the point that  
HR had to be involved.

Manager Overall  
Comments

4. Carmelo has not  
attended any of the  
professional  
developments classes  
that were recommended  
for him.

Manager Overall  
Rating

4 - Partially Effective

5. Initiative - Carmelo  
needs to step up and  
take  
ownership/initiative to  
get his workload  
completed in a timely  
manner. His Sr. Mgmt  
team had to monitor the  
lab migration projects to  
the task level to ensure  
migrations were on  
schedule and all  
pertinent tasks were  
accounted for.

Employee Final Feedback

Employee              Signature:  
Manager              Signature:

Date:  
Date:

CTI0000355

# **DEPOSITION**

# **EXHIBIT 9**

Pay Inquiry

Page 1 of 2

New Window | Help | .xtra

Name: Carmelo Milan  
 GID: 0003465301

Pay Period: 12/16/2006 - 12/31/2006

Deposit Date: 12/29/2006

Payrate:

61264.00

Your Employer:

Citigroup Technology, Inc.

W2 Wages	FEDERAL	MEDICARE	SOC SEC	NJ	NY	Net PY
Current	2373.59	2373.59	2373.59	2853.23		1157.36
YTD	70150.66	70150.66	70150.66	74462.02	51075.07	34291.61

Description	Earns Begin	Earns End	Hours	Rate	Amount	YTD Amount
REGULAR					2,552.67	50,972.08
REGULAR					-471.26	
VACATION					235.63	5,183.88
HOL EVEN					235.63	1,834.55
ANN INCENT					12,000.00	
CITIOWNW COP RESTR					184.24	
NONCASH GU					1,506.45	
SICK PAY VACATION					40.81	
Total:					2,095.42	
Total:					631.15	
Total:					2,552.67	74,448.58

Taxes		
Description	Amount	YTD Amount
Fed Withholding	427.05	13,574.49
Fed MEDIEE	34.41	1,017.18
Fed OASDIEE	147.16	4,349.34
NJ Unempl EE		66.17
NJ NJ WDFF		4.33
NJ Withholding	87.17	702.66
NY Withholding		2,982.97

Description	Amount	YTD Amount
Total:	695.79	22,700.17

CT10000313

Pay Inquiry

Page 2 of 2

Description	Amount	YTD Amount	Description	Amount	YTD Amount	Description	Amount	YTD Amount
DENTAL	13.29	318.96	LOAN 01	46.02	843.08	GRP LIFE	0.56	13.44
MEDICAL	116.35	2,792.40	LOAN 02	16.86	404.64			
TRIPTRANS	50.00	1,200.00	FIT					
			PROGRM	345.00				
			Garnishment					
			Child	442.00	10,608.00			
			MERCH					
			Child Care	15.00	25.00			
					45.00			
Total:	179.64	4,311.36	Total:	519.86	12,270.72			

Account Type	Account Number	Amount	Mar St	Allow	Extra Amt
Checking	***2012	1,157.36	FED Single NJ M-Sep	0	0.00

NON NEGOTIABLE

[← Return to Search](#) | 
 [↑ Previous in List](#) | 
 [↓ Next in List](#)

CT10000314

# **DEPOSITION**

# **EXHIBIT 10**



Citigroup  
Payroll Department  
125 Broad Street  
New York, NY 10004

ADVICE NUMBER 0

0.00 12/28/2001

DEPOSIT ADVICE  
NON NEGOTIABLE

SH07 K90 74132 S004  
CARMELO MILLAN  
NETWORK INTEGRATION  
125 BROAD STREET 3RD FL.  
NEW YORK NY 10004

DEPOSIT ADVICE - NON NEGOTIABLE

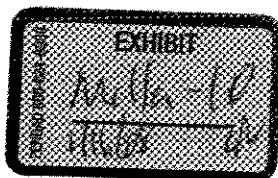
MILLAN, CARMELO	SH07				Description	Taxes/Allocations	Year To Date
Description	Rate	Hours	Earnings	Year to date			
****W2 WAGES****				43,614.58	FEDERAL TAX :	0.00	3,206.06
REGULAR EARNINGS	19.71	0.00	0.00	39,349.92	SOCIAL SEC TAX :	0.00	2,754.10
RETRO PAYMENT			0.00	41.66	MEDICARE TAX :	0.00	632.41
REFERRAL FEES			0.00	3,000.00	SDI TAX :	-1.30	25.90
2000 BONUS			0.00	2,000.00	NEW YORK :	0.00	2,174.10
EXEMPT PERDIEM			0.00	460.00	CHECKNGACCOUNT :	0.00	27,137.31
MEAL MONEY			0.00	1,110.00	PRETAX MEDICAL :	0.00	1,049.50
					PRETAX DENTAL :	0.00	107.50
					DISAB TAX ADJ:	0.00	1.30
					LTD INS:	0.00	146.50
					AD&D:	0.00	20.70
					STOCK PURCHASE :	0.00	1,541.75
					FITCTR/WTC :	0.00	318.75
Current	0.00						
Year To Date	45,881.58	-1.30	0.00	0.00			
EARNINGS		13,746.57	3,289.00	28,846.01	12/28/2001	00000000	0.00
		TAXES	ALLOCATIONS	NET PAY	DEPOSIT DATE	DEPOSIT NUMBER	AMOUNT OF DEPOSIT

CITIGROUP

125 BROAD STREET

PAYROLL DEPARTMENT

NEW YORK, NY 10004



CT10000059

# **DEPOSITION**

# **EXHIBIT 11**

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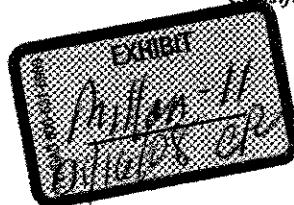
**CTI - Global Engineering Lab  
388/12 Greenwich St., NY, NY – Global Engineering  
Process Control Manual**

April 18<sup>th</sup>, 2005

Citigroup Internal

V1.0

*Classification: Internal*



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CT100001167  
**CONFIDENTIAL**

Citigroup Technology Infrastructure - CTI Global Engineering Lab  
Process Control Manual

### **Revision History:**

**Document Owner:**

Carmelo Millan

#### Contributing Authors:

Paul Holder  
Denise Pavona  
David L. Young  
Marcelo Medina

**Citigroup Technology Infrastructure - CTI Global Engineering Lab**  
**Process Control Manual**

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**Citigroup Technology Infrastructure - CTI Global Engineering Lab  
Process Control Manual**

**1. Introduction**

**1.1 Purpose of Document**

The CITM Policy document requires organizations to define their processes and procedures to identify, measure, monitor, and control technology-related risk. This Process Control Manual has been developed to address the requirements of the Global Engineering 388 Greenwich St/12<sup>th</sup> floor labs. These processes include:

1. An annual review of the 388 Greenwich St/12<sup>th</sup> floor lab environments by the associated CTI- GE Technical Product Managers.
2. A determination of the specific risk management categories applicable to the organization.
3. A methodology for maintaining the security and integrity of the lab environment.
4. A methodology for maintaining hardware and software inventories.

This document discusses the processes and procedures used by the CTI Global Engineering (CTI-GE) group in meeting these requirements.

**1.2 Purpose of CTI-GE 388 Greenwich St/12<sup>th</sup> floor Labs**

The CTI-GE mission is "To develop standards based technology that meets all of the relevant information security standards, policies and practices that govern our business, as they relate to technology infrastructure and operational risk management in the infrastructure environment while meeting our customer's needs for newer and cost effective technology solutions." To achieve this end, CTI-GE has established lab environments in 388 Greenwich St./12<sup>th</sup> floor for lifecycle testing and certifying standard technology solutions prior to recommendation and deployment.

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**2. Lab Roles and Responsibilities**

The CTI-GE 388G test lab environments are used for the testing, development and certification of new technology, along with the testing of new or unique installation configurations. Global Engineering maintains ultimate ownership of the lab, which is managed by the Lab Coordination Team in support of the product development teams who primarily reside within the 388 Greenwich St. and other NY Metro facilities. Teams residing in the 388G/12 Lab include, but are not limited to, teams within Network Engineering, Collaboration Engineering, Distributed Engineering, and External Services.

Utilization of lab resources is coordinated through the Lab Coordination Team, respective Engineering Teams, and Team Leads.

Function - 388G/12 CTI GE Lab	Responsible
<b>Teams &amp; Team Leads</b>	Digital Media and Collaborative- Tony Raimundo Global Voice/Contact Center/Trading Floor – George Carzis Enterprise Infrastructure Tools/Product Development – Mike Mazzuki Citiplex – Lawrence Chin B2B/CEP – Rob Centra Infrastructure Survivability – Peter Callahan Security Architecture and Assessment – Janet Cugini Transport – Amedeo Discepolo Data Center – Steve Gannon Branch – John Branigan Campus Infrastructure and Convergence Technology – David Young IP Network Services – Bernardo Jimenez Storage Platform – Robert Small Platform/ Products and Services – Art Bernstein OS Platforms – Brian Lenz Platforms/ Product Management – Steve Tatay
<b>Physical Access Entitlement Coordinator</b>	Lab Coordination Team in conjunction with

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	<b>Team Leads</b>
<b>Hardware Inventory Control</b>	<b>Teams</b>
<b>Annual Insurance Questionnaire</b>	<b>Lab Coordination Team</b>
<b>Physical Access Security and Compliance Review</b>	<b>Lab Coordination Team</b> <b>Team Leads</b>
<b>Lab Coordination Team</b>	<b>Paul Holder</b> <b>Carmelo Millan</b> <b>Open Req.</b>

**Table 1. Lab Responsibilities**

**2.1 Functional classification of roles and responsibilities**

**Teams & Team Leads**

- Vendor primary POC
- Responsible for Test Bed Design and Lab network connectivity
- Validate NDA and Loaners agreement requirements are met
- Technical Product Manager
- Peer group interaction
- Validates compliance with testing, subsequent documentation, distribution of results and other CITMP requirements of Engineered products

**Physical Access Entitlement Coordinator**

- Responsible to make sure those w/ physical access to lab are approved to do so
- Access control and reconciliation annually

**Hardware Inventory Control**

- Responsible for initial inventory entry when equipment/software received
- Responsible for inventory removal when equipment/software is retired

**Annual Insurance Questionnaire**

- Responsible for compilation of annual Insurance Questionnaire based on Individual Team Hardware Inventories

**Physical Security and Compliance Review**

- Responsible to conduct ad hoc reviews to ensure sure physical access restricted to Lab
- Responsible for Annual Lab Access Reconciliation

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**Lab Coordination Team**

- Responsible for Lab Support
- Responsible for Lab Space Allocation
- Responsible for Lab Coordination
- Responsible for Loafer Equipment receipt and return
- Physical Lab access control and yearly reconciliation
- Annual Insurance Questionnaire compilation based on individual Team Hardware/Software Inventories
- Responsible for all Lab connectivity, patching, racking, stacking
- Inter-Engineering Discipline liaison
- Overall lab caretakers/gatekeepers
- SME Peer group interaction when necessary

**3. Physical Access Controls, Installation Request, and Test Environment Controls**

**3.1 Physical Security and Authorized Access**

Authorized access to the CTI-GE Lab is restricted to essential engineering personnel. Entry to its location is managed via an access card system. Employees within the Global Engineering group can request access through email communication to both their Team Lead and the Lab Coordination Team. The Team Leads and Lab Coordination Team will provide final approval for parties requesting access. Upon receiving approval, the GE employee's access card will be permissioned via local security administration.

Access to network devices, servers, applications, and tools is maintained via logical access mechanisms that are granted and maintained by the individual Teams utilizing the Lab.

Vendors must be escorted at all times, it is the responsibility of the authorized individual providing access to escort the vendor.

Logical vendor entitlements will be handled based on nature of vendor activity. The Teams handle logical entitlements for vendors. It is their responsibility to determine, maintain, track, and terminate the proper level of entitlement for the vendor activity being performed.

**3.2 Installation Request, SLA's, and Standardized Lab Device Nomenclature**

All requests for equipment installations, rack & stacks, connectivity, or topology builds are made through the Lab Coordination Team. The requestor will be asked to fill out the Lab installation request form that can be found at "Insert Link to "388G Lab Installation Request Form", and e-mailed to the, "GT Global Engineering Lab Support" alias. The "388G Lab Installation Request Form" will be used to determine space, thermal, and power requirements. As well as, classify the type of test environment being requested.

A three-day SLA for the initial device, and additional day for each additional device being installed or interconnected should be anticipated for all installation and test bed requests. The SLA clock will start from the time all relevant forms, test plans, topologies, information and equipment have been received and is subject to change based on resource availability. Any changes/additions to the initial request can result in a reset/readjusted SLA.

All devices installed in the lab will adhere to the standardized lab nomenclature, which will include device cabinet or rack location, distinguishing device model #, and quantity of given device in cabinet or rack location. The standardized lab nomenclature will serve to quickly locate lab devices, assist in inventory and loaner management, and facilitate other control/operational lab procedures. If different names are required, they will be maintained as Aliases to the standardized lab name, and it will be the Team and Team Leads responsibility to keep track of them. All request for lab installs, decommissions, and support will be made based on the standardized lab name. The Lab Coordination Team will only accept request based on the standardized lab nomenclature.

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The Standardized Lab Nomenclature will adhere to the following guidelines:

All lab device names will be completely lower case. There will be three dash-separated fields used as follows:

**rack/cabinet location – distinguishing model # - quantity of device at given location**

So the first Catalyst 6500 residing in rack S01 will be given, "s01-6500-01" as its standardized lab name.

Similarly if there were three HP Compaq DL380's in cabinet AG04 in the lab they would be labeled, "ag04-dl380-01", "ag04-dl380-02", and "ag04-dl380-03".

Please contact the Lab Coordination Team at, \*\*GT Global Engineering Lab Support\*\* to suggest any clarification, changes, or problems with the Standardized Lab Nomenclature.

#### 3.3 Test environment definitions

It is noted here that there are significant differences between how equipment is used in a Lab environment. Generally, we classify test networks and distributed equipment used in the GE Lab as "Isolated", "Production Accessible", "Filtered Production Accessible", "Static", and/or "Dynamic/Loaner". The following definitions will serve as the context for these terms in this document and on the lab installation form:

**Isolated**- Used to describe non-production Accessible equipment being tested as a standalone component or as part of an isolated system, infrastructure, or testing environment. "Isolated" test environments may include "Production Accessible" out-of-band management connections to facilitate testing. In an isolated Lab environment there is no unfiltered or firewalled access with the production network and/or where no unfiltered routes are exchanged directly with the production network.

**Production Accessible**- Used to describe the "Production Accessible" lab segments used for testing and the equipment residing on them. These segments reside on production managed and locked down network devices and all network changes taking place on these segments follow production regulations and standards. Furthermore, network configurations on these segments/devices are tailored to minimize or negate any possible network impact to production.

**Filtered**- Used to describe devices that are "Production Accessible" but are filtered network wise via a Firewall or Access list. All "Filtered Production Accessible" lab equipment is also bound by the terms found in Sections 3.4,5&7. Equipment residing on lab segments that are filtered, but are not permissioned to interact with production can be treated as "Isolated" for purposes of Upgrade, VTM, and Patch Maintenance but must be documented completely by the Lab Coordination Team from a network/connectivity perspective.

**Static**- Used to describe base-level network infrastructure, distributed infrastructures, systems, software, and/or test equipment that is used to support "Production Accessible" and "Isolated" lab environments which will be leveraged for more than 6-months or indefinitely.

**Dynamic/Loaner**- Used to describe base-level network infrastructure, distributed infrastructures, systems, software, and/or test equipment that is used to support production accessible and isolated Lab environments which will be tested for less than 6-months. Typically these are devices coming through the lab for hardware certification. Because of the dynamic nature of how this equipment is changed, reconfigured, tested, patched and monitored, it is sometimes unreasonable to track code versions, specific equipment configurations, and patching unless necessary to honor loaner agreement or to receive "Production Accessible" connectivity. If the equipment is classified as "Dynamic Production Accessible" it must follow all applicable terms described in Sections 3.4,5&7.

**Static Production Accessible**- network and distributed devices are required to be fully inventoried, document, and tracked. "Static Production Accessible" network devices/environments are managed and tracked by the GNCC or in some cases by the team/team lead owning the "Static Production Accessible" device/network. All "Static Production Accessible" equipment is also bound by the terms found in Sections 3.4,5&7.

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### 3.4 Test Environment Controls

"Filtered/Static/Dynamic Production Accessible" networks/devices - must be fully documented from a network perspective by the Lab coordination team and adhere to all production network operational regulations and procedures. L2MAC request are submitted to the GNCC for Layer 2 port changes and Informants are submitted for all other changes. Changes are all requested through the lab coordination team and will need team lead approval from the testing engineers lead and possibly additional team lead/TPM approvals (if change can affect system or infrastructure not owned by testing engineer).

Software changes to the "Static Production Accessible" lab network infrastructure in the GE Lab must adhere to all production network operational regulations and procedures.

"Static/Dynamic Isolated" networks/devices- documentation is optional and logical design/configuration/operational duties are handled either by the team owning the testbed, the engineering team responsible for the network product being tested on or against, or the lab coordination team (in cases where the required network expertise is not available within the team requesting the test network and the testing is non-network related).

It is recommended that changes to the "Static or Dynamic/Loaner Isolated" lab infrastructure require, minimally, verbal approval of the Lab Team Lead. Where appropriate, if these changes reflect either inventory control or "Isolated" Lab network diagram changes, these documents should be updated to reflect the change. However, it is *not* necessary to log, update or identify changes to hardware or software configuration, patching or versions of "Isolated" Lab equipment, as long as this equipment remains in an "Isolated" Lab environment.

### 4. Loaner/Evaluation life cycle management

Loaner and Evaluation equipment will be received, installed, and returned by the Lab Coordination Team. This will ensure all vendor loaner/evaluation agreements time frames are honored and provides a procedure to centrally manage the time frames, equipment, and packaging associated with a loaner's life cycle.

The following procedure, while listed for Cisco hardware, applies to any vendor product or service under evaluation in the Lab.



**IMPORTANT -  
Obtaining Cisco dems**

A current version of the CRF referenced in the attached email can be found at:

[https://casp.ny.ssmb.com/casp/asp/casp\\_submenu.asp?menu=10&section\\_title=20&section=10](https://casp.ny.ssmb.com/casp/asp/casp_submenu.asp?menu=10&section_title=20&section=10)

Technology Procurement is responsible for the negotiation of Non-Disclosure Agreements (NDA) and vendor contracts. All equipment owners will follow the standard process for engaging technology procurement prior to the acceptance of any equipment loan or the attainment of evaluation software. A copy of any current executed evaluation documentation (requests, CRFs, etc) must be kept in:

Need a GE share or a centralized distributed and network share.

As part of the Lab inventory documentation, evaluation equipment must clearly be identified as "evaluation", along w/ applicable inventory information such as model number(s), serial numbers, and software version. The equipment inventories, are maintained by the Teams & Team Leads and can be found at:

Need a GE share or a centralized distributed and network share.

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### 5. Upgrades, patch maintenance, and VTM

This section, along with section 6 below, applies *only* to "Production Accessible" Lab infrastructure, test equipment, or Lab equipment that bridges the production and test Labs for purposes of tester access.

If the upgrade and or patch is related to VTM, the Team and Team Leads will follow standard procedures associated with the VTM process. All network changes to existing configurations must be recorded and tracked in appropriate inventory or network diagram documentation.

All the procedures/forms for VTM can be found at: <http://www.citigroup.net/tie/vtm/index.shtml>

Any "Filtered/Static Production Accessible" network, distributed infrastructure, system, or device in the 388G/12 lab *must* adhere to production standards for hardware, software (version) and/or configuration. This is the responsibility of the Teams and Team leads.

Any "Filtered/Dynamic/Loaner Production Accessible" network, distributed infrastructure, system, or device must adhere to production standards for VTM, patch maintenance, and antivirus, if they exist. If no Citigroup Standards exist the distributed device must meet Infosec standards, have antivirus installed (with the latest definitions), have all applicable security patches, and receive Team Lead and possible TPM approval, to be given production access. In addition, if no standard exist, the product under evaluation may be require initial installation on an isolated testbed, for proof of concept and to document and observe product behavior before being put on the "Production Accessible or Filtered Production Accessible" Lab segments. The Citigroup Engineering responsible for certification and TPM responsibilities for said product team will make all initial network, device, or system configurations, to avoid any possible conflicts with production or lab system, services, or infrastructures. All upgrade, patch maintenance, and VTM responsibilities are handled by the Teams and Team Leads.

All "Static and Dynamic/Loaner Isolated" networks, distributed infrastructures, systems, or devices will follow the level of upgrade, patch maintenance, and VTM activity deemed appropriate by the testing Engineer or Team Lead owning/requesting the environment.

### 6. Software License Maintenance

All software being purchased for lab trials or engineering analysis, must be handled through Technology Procurement's standard process. In the event the engineering effort requires an evaluation version of vendor software, at a minimum, the Lab user/tester must ensure that the vendor resides in CASP. If the vendor is not in CASP a CRF form must be filed with Technology Procurement. The CTI-GE team is responsible, where deemed appropriate, for acquiring or the maintenance of software in the lab. It is the Teams responsibility to notify the Team Leads team of expiring software contracts and/or licenses so that an assessment of the purchase or renewal of software maintenance can be made.

The Teams will maintain as part of the inventory and equipment log, the vendor name, software name and version number that is installed on lab equipment. For "Dynamic" Lab equipment the inventory must document the *initially* procured and/or installed software version, only if necessary for Inventory or Loaner agreement reasons. Any changes to software for "Static/Dynamic Production Accessible" equipment, or Lab infrastructure will follow the process described in Sections 3,4,5&7.

### 7. Software Management

The Teams from CTI-GE are responsible for maintaining an inventory log to reflect current software versions for "Static/Filtered/Production Accessible" distributed Lab equipment and initially installed versions of all "Dynamic" lab equipment. Where "Static Filtered/Production Accessible" lab distributed equipment is running a version that is inconsistent with published GVAST standards, the team responsible for the change must minimally obtain verbal approval from the appropriate Lab Team Leads. The Teams will manage the software changes and adhere to the terms described in Sections 3,4,5&7 of this document. All Lab testers must ensure that software being used for trial, evaluation and analysis purposes has been obtained through an approved vendor. Team Leads must ensure that all vendors providing software reside in CASP. In the event the vendor is not in CASP a CRF form must be filed with Technology Procurement.

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All Network related lab software changes that touch production are handled by the Operational groups that own the network and adhere to all Production standards and regulations.

**8. Continuity of Business (COB)**

Continuity of Business efforts is not required for the lab environments, as they have no direct impact on the immediate production environment. Replacement parts may be maintained as part of the overall system inventory as defined and documented within Inventory Control.

**9. Inventory Control & Insurance Questionnaire**

The CTIGE Lab consists of a variety of hardware and software. An accurate inventory of the hardware and software will be maintained by the Teams and must be reconciled against physical equipment at least annually. The Teams make updates to the inventories, within 30 days of installation or return of equipment. An annual Insurance Questionnaire, based on the Team inventories, will be completed by the Lab Coordination Team and maintained in the following location:

Need a GE share or a centralized distributed and network shares

**10. Lab compliance and security**

The Lab Coordination Team will be responsible for completing a self-assessment (RCSA) on all lab procedures, Annual Insurance Questionnaire, Production related Change request submission and oversight, and Physical Access Control and Reconciliation.

The Teams and Team Leads will be responsible for Hardware/Software Inventories, Vendor lab access, Logical Entitlements, and Upgrade, VTM, and Patch activities.

All Production related lab changes are submitted through the Lab Coordination Team and follow standard production procedures.

**11. Terms and Conditions for Lab Usage**

- All equipment entering or leaving the 388G/12 Lab facilities should enter or leave the facility through locally accepted ingress/egress, Mail, or Receiving/Shipping procedures and be coordinated through the Lab Coordination Team.
- All lab equipment must adhere to the Standardized GE Lab Nomenclature.
- Loaner/Evaluation equipment in particular should ship directly to the attention of the Lab Coordination Team. It is the Lab Coordination Teams responsibility to ensure the loaner/evaluation life cycle is honored and the equipment is returned to the vendor when testing or evaluation has concluded.
- No equipment, infrastructure or test equipment will be installed, removed, or relocated within the lab without the knowledge and consent of the Lab Coordination Team.
- Information gathered from the Team compiled CTI-GE Lab inventories will serve to compile an accurate inventory of all lab hardware and software and as a basis for the yearly Insurance Questionnaire.